

**FISH AND WILDLIFE SERVICE
SERVICE DIRECTIVES**

Service Directives

Part 011 The Fish and Wildlife Service Manual

Chapter 3 Preparation, Clearance, and Publication

011 FW 3

3.1 What is the purpose of this chapter? This chapter describes:

- A.** How to prepare new or revised Fish and Wildlife Service Manual (FWM) chapters for review and surname.
- B.** How to make minor revisions to a chapter by issuing an amendment.
- C.** How the Division of Policy and Directives Management (PDM) publishes the chapter after the Director approves it.

3.2 Who is responsible for directives?

A. Division Chief or Office Manager. The division or office that is responsible for the subject matter of a chapter is also responsible for developing the chapter and revising it when necessary. The division or office also makes the initial determination about which other divisions or offices should review and concur on the chapter. The division or office should:

- (1) Consult with PDM before developing, revising, or amending a chapter.
- (2) Consult with other divisions or offices affected by the policy.
- (3) Write, revise, or amend the chapter.

B. Chief, Division of Policy and Directives Management (PDM):

- (1) Reviews the chapter for format and clarity.
- (2) Works with the originating division or office to resolve issues and clarify language.
- (3) Edits for plain language.
- (4) Determines if other divisions or offices in the Service are affected and notifies the originating office about the need for additional concurrence.
- (5) Reviews the chapter to ensure it is consistent with other Service and Departmental policies.
- (6) Retains the latest electronic copy of the document to ensure that the proper version gets signed and posted. If substantial revisions are required after the document leaves PDM, PDM will either make the changes or give the electronic file back to the program office so that they can make changes, whichever is the most efficient.

3.3 What are the steps for putting the chapter through the surname process? The division or office that is responsible for the subject matter should:

- A.** Consult with other affected divisions or offices and PDM before writing the chapter or revising an existing chapter.
- B.** Use the template and guidelines provided in 011 FW 2 to write or revise the chapter. PDM will help you

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ensure your chapter follows the standards described in 011 FW 2 before others review the chapter.

C. Identify who should review the chapter and enter the information on the clearance record (see section 3.5 for more information to help you decide who should review the chapter).

(1) When you include a Division Chief on the clearance record, include the Chief's Assistant Director, who must review the package after the Division Chief.

(2) The last three reviewing officials to enter on the clearance record always are:

(i) Chief, PDM. PDM will edit the document if necessary, check for inconsistencies or gaps in information, determine if any other divisions or offices need to review the document, and put the document in final format.

(ii) Assistant Director – Budget, Planning and Human Resources (AD – BPHR). The AD – BPHR is the final reviewer before the chapter goes to the Director's office.

(iii) Director. The Director has final signature authority.

D. Assemble the concurrence package (see section 3.4 for more information about how to assemble the concurrence package).

E. Enter the package into the Service's Data Tracking System. Generate the routing slip from the system and staple it to the front of the package.

F. Send the package on to the first reviewing official on the clearance record. When the first reviewing official has read and initialed the package, they will send it on to the next person on the list for review. If they have questions or would like you to revise something, they will contact you.

3.4 How does the author assemble a package for review and concurrence? After you have written or revised the chapter (see 011 FW 2 for more information), you prepare a package. Place all documents in a folder, which must contain (also see Figure 1 below):

A. On the front of the folder: A routing slip generated from our Data Tracking System. Your office's administrative support staff can help you enter your package into the tracking system and generate the routing slip.

B. On left, inside the folder:

(1) A "Note to Reviewers," if necessary. This note explains why you wrote the chapter or points out any other information you would like reviewers to know.

(2) Comments that you received on the chapter and notations about how you addressed the comments. If you received multiple sets of comments from one reviewer, you do not need to include all copies. Instead, include a brief summary.

(3) For revisions, a copy of the old chapter.

(4) Any other pertinent reference material.

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C. On the right, inside the folder:

(1) The Clearance Record (Form DI-228). This is the document where you indicate the chain of officials who need to review the chapter. The reviewing officials sign their names on the clearance record to show they concur. On the top of the clearance record, there is a space for you to explain why you developed the chapter or what revisions you have made if it is an existing chapter. Exhibit 1 is an example of an unsigned clearance record.

(2) A copy of the chapter and any exhibits. PDM will put a signature line at the end of the chapter before sending it to the Director for signature.

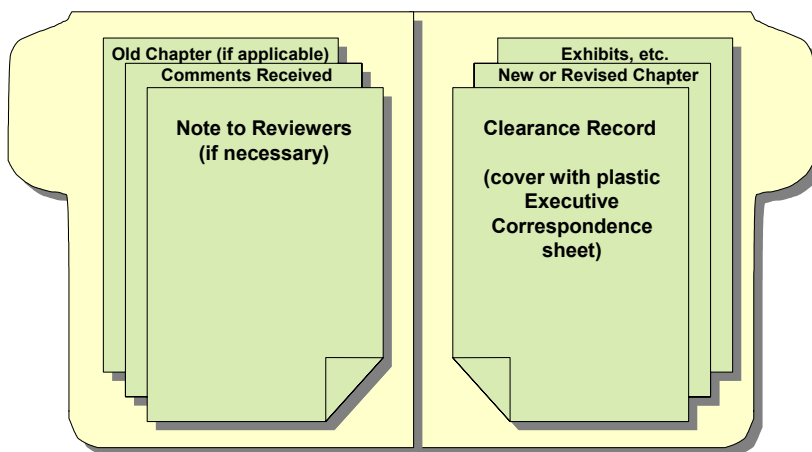


Figure 1: Inside a Surname Package

3.5 Are there specific requirements for who should review the chapter? Yes, you should ask divisions and offices affected by the policy to review the chapter.

A. If a new or revised chapter includes a significant requirement(s) that has impacts Servicewide, the Service Directorate must review the chapter. Allow at least 30 days for their review.

B. For some chapters, you must ask for public comment by publishing a notice of availability of the draft in the Federal Register. PDM can assist you. If the chapter meets one of the following four criteria, seek public comment:

- (1) Has clear and substantial impact on important public policies or private sector decisions.
- (2) Raises highly controversial issues related to interagency concerns or important Administration priorities.
- (3) Establishes initial interpretations of statutory or regulatory requirements.

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(4) Is about innovative or complex scientific or technical issues.

3.6 What happens if a reviewing official does not concur with the chapter and requests changes? A reviewing official should never hold a chapter because he/she does not concur. If the reviewing official takes exception to a chapter, then:

A. The reviewing official should contact the originating office to discuss and resolve the issue. If possible, the reviewing official should provide suggestions for ways to change the document to make it acceptable.

B. If you cannot resolve the issue, then the originating office should contact PDM. PDM will take one of the following actions:

(1) Act as an intermediary to try to find a way to resolve the issue.

(2) Refer the matter to the Deputy Director for resolution.

3.7 What if the author needs to make substantial changes to the document after reviewing officials have already surnamed it? When you make substantial changes to a chapter after it has been through all or part of the surname process, you should ask offices or divisions substantially affected to re-surname the chapter. If PDM has already surnamed the document, then PDM will retain control of the document and assist you in coordinating the re-surnaming process.

3.8 Does the author need to put the entire chapter through the surname process if he/she only wants to make a small change or correction? No, if you have a minor change, you can amend the chapter. We consider minor changes to be such things as modifying a few sentences, correcting typographical errors, or changing titles to reflect changes in the organization. To amend the chapter, you:

A. Prepare an amendment to the chapter. The amendment must include a brief description of its purpose and a clear explanation of what you are changing or adding. See 011 FW 2 for more information and an example (Exhibit 4) of how to write and format an amendment.

B. Prepare a surname package as described in section 3.4 above. Use a redline/strikeout version to show the changes to the existing chapter and include a copy on the left side of the folder.

C. After the surname process is complete and the Director has signed the amendment, PDM will publish it.

3.9 Who publishes the chapter after the Director approves it? PDM publishes the chapter. PDM will notify the originating office when they publish the chapter and will retain the original documents with signatures. PDM posts all chapters on the Internet as soon as possible after the Director signs them.


Deputy
DIRECTOR

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